

# **Virginia's Annual Holder Report Forms & Instructions**



**Commonwealth of Virginia—Department of the  
Treasury  
Unclaimed Property Division**

**Reporting Deadline: November 1\***

**\*Insurance Company Annual Reporting Deadline: May 1**

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# COMMONWEALTH OF VIRGINIA

*Department of the Treasury*

JODY M. WAGNER  
TREASURER OF VIRGINIA

P. O. BOX 2478  
RICHMOND, VA 23218-2478  
(804) 225-2393  
FAX (804) 786-4653

July 1, 2004

## MEMORANDUM

To: Holders of Unclaimed Property

From: Vicki D. Bridgeman, Director

Subject: Report and Remittance of Unclaimed Property

Pursuant to Title 55, Section 55-210.1–30 of the Virginia Uniform Disposition of Unclaimed Property Act (*the Act*), demand is hereby made for your 2004 Unclaimed Property Report. The 2004 report should include all amounts reportable as of June 30, 2004 and prior. The report is due on or before November 1, 2004.

Failure to report and remit your unclaimed property will result in the imposition of penalties and interest in accordance with Section 55-210.26:1 of *the Act*. To avoid the assessment of penalties and interest, have your report postmarked by November 1, 2004.

For the 2004 Unclaimed Property Report, there are new electronic reporting requirements to consider. If your report contains 25 or more properties, you MUST report electronically using the NAUPA format and submit the report on either diskette, CD or via upload to our website file transfer location. To assist you in putting your data into the proper format, Virginia does offer free software, which can be downloaded from our website, and a listing of software vendors who may be able to assist you. Visit [www.trs.virginia.gov/ucp/ucp.asp](http://www.trs.virginia.gov/ucp/ucp.asp) for links to these services and others designed to help you with your understanding of unclaimed property reporting.

You may request an extension pursuant to Section 55-210.12.D. of *the Act* (see enclosed form). A request to extend your report due date must be received prior to November 1, 2004. Please note that if an extension is granted, interest at the rate of 7% on the total value of reportable property will continue to accrue from November 1, 2004 until the receipt of your remittance and report, as detailed in Section 55-210.26:1.A.

If you have any questions regarding your reporting requirements, please refer to the enclosed instructions or contact Marketa Lee at 804-225-2463 or 1-800-468-1088. You may also visit our website at [www.trs.virginia.gov](http://www.trs.virginia.gov) to download additional forms, review more detailed instructions, review charts which may assist you, and for additional information on electronic reporting instructions. Thank you for your cooperation.

## **Frequently Asked Questions Unclaimed Property Division**

We are continuing to make every effort to assist the holders in the correct procedures for completing the statutorily required report. We have compiled a list of frequently asked questions and the answers to assist you in completing the Report of Unclaimed Property.

We hope these questions and answers will prove beneficial but if you should have any further questions, please do not hesitate to contact this office.

1. **WHAT IS UNCLAIMED PROPERTY?**

Unclaimed property is all tangible or intangible personal property that has remained unclaimed by its owner for an extended period of time. This includes, but is not limited to, savings and checking accounts, wages or commissions, underlying shares, dividends, customer deposits, refund checks, insurance proceeds, safe deposit box contents, etc.

2. **HOW DOES PROPERTY BECOME “UNCLAIMED”?**

In accordance with the Code of Virginia, Uniform Disposition of Unclaimed Property Act (Chapter 11.1 §§ 55-210.1 - 55-210.30), property becomes unclaimed when the holder has not had contact with the owner of the property for a specified period of time. After the passage of the dormancy period, if there has been no activity generated by the owner, the property is then presumed abandoned.

3. **CAN A HOLDER REPORT PROPERTIES WHICH HAVE NOT REACHED THE REQUIRED DORMANCY PERIOD?**

A holder may report and deliver property early in accordance with §55-210.10:2.

4. **WHO MUST FILE AN UNCLAIMED PROPERTY REPORT?**

Any business association in possession of property is subject to Chapter 11.1 of the Code. This includes but is not limited to banking and financial organizations, insurance companies, utilities, corporations, government agencies, partnerships, limited liability companies, trusts and non-profit organizations.

5. **WHEN SHOULD MY COMPANY FILE ITS REPORT IN VIRGINIA?**

You should report and remit your unclaimed property no later than November 1 each year for the filing period of July 1 of the previous year through June 30 of that same year. The exception to this rule is for insurance companies. They must file their reports on May 1 each year for the filing period of January 1 through December 31 of the previous year. If, however, the insurance company's filing involves demutualization proceeds, those must be filed during the standard filing period of November 1.

6. **WHAT WILL HAPPEN IF A HOLDER FAILS TO REPORT AND REMIT BY THE STATUTORY DUE DATE?**

Pursuant to §55-210.26:1, the holder shall pay interest and a civil penalty up to \$1,000 for each day the report and remittance is withheld up to a maximum of the lesser of \$50,000 or 100 percent of the value of the property which should have been paid or delivered and shall be required to pay the administrator interest at the same annual rate as is applicable to delinquent taxes under §58.1-1812.

7. HOW CAN I REQUEST A FILING EXTENSION?

Extensions may be granted by the administrator upon request for a period of either 30 or 60 days. A **Request for Extension of Time to File** form must be submitted prior to November 1 (May 1 for insurance companies).

8. IF AN OWNER COMES TO THE HOLDER AFTER THE FUNDS HAVE BEEN REMITTED TO THE STATE, CAN THE HOLDER PAY HIM AND THEN REQUEST REIMBURSEMENT FROM THE STATE?

Yes, the holder must provide the Division with evidence of the payment to the owner or that the account was reactivated. Please contact the Division in writing to claim reimbursement. (See the **Holder Claim Form** in the **FORMS** section.)

9. WHY DOES VIRGINIA HAVE SUCH A LAW?

The purpose of Virginia's law is threefold:

- To protect the property rights of the absentee owner and to reunite the owner with the property;
- To provide the use of any funds that might arise from unclaimed property to the benefit of the general public rather than a chance possessor; and
- To provide the holders relief from any liability and the responsibility of record keeping.

10. WHAT ATTEMPTS ARE MADE TO FIND THE RIGHTFUL OWNERS?

The holder is required to exercise due diligence (see definition under §55-210.2) on items \$100.00 or greater at least 60 days prior to remittance. Pursuant to § 55-210.26:1B, a \$50 penalty per item will be assessed for failure to perform due diligence.

The Division is required (§ 55-210.13) to publish the owners' names in the newspaper annually. Owners who respond to the newspaper advertisement will be assisted by the Division to claim these funds. Internet searches are available at [VaMoneySearch.org](http://VaMoneySearch.org). Additional efforts to locate owners are made by the Investigative Section of the Division on a continuous basis.

11. WHAT DOES THE STATE DO WITH THIS MONEY?

Virginia is a custodial State. This means owners can always claim their assets. There is no time limit on claiming your money from the State. In addition, Virginia pays interest "...at the rate of five percent or such lesser rate as the property earned while in the possession of the holder..." (§ 55-210.21 (C)).

The money is held in the Literary Fund with a reserve for claims by the owners or their heirs. This fund was established by the Virginia Constitution in 1810 as a permanent and perpetual means for financing public school construction. Administered by the Department of Education, the fund provides low interest rate loans to localities.

12. IS THERE A MINIMUM REPORTABLE AMOUNT?

No. Any and all property that meets the guidelines requiring remittance to the Commonwealth as Unclaimed Property should be reported, no matter how small.

## **STEP 1**

### **IDENTIFY THE PROPERTY TO BE REPORTED**

Using the Charts on the following pages, identify the accounts meeting the criteria to be considered as abandoned property. The Property Type chart shows you what types of accounts are involved. The Dormancy Chart shows you the maximum length of time an account may remain on your books without activity before it is considered abandoned (You may voluntarily report accounts early if you have determined the whereabouts of the owner is unknown). The Date Chart assists you in using the correct date range when considering the date of last activity on a particular type of account.

# Property Type Chart

Except where noted, all dormancy periods are 5 years (Exceptions for Governmental Agency/Public Corp. or Authority, which is 1 year, and Employee Benefit Trust Distributions, which is 10 years. Refer to Dormancy Chart for Code Section reference.

## CASH PROPERTY

### ACCOUNT BALANCES DUE

AC01	CHECKING ACCOUNTS
AC02	SAVINGS ACCOUNTS
AC03	MATURED CD OR SAVINGS CERTIFICATE
AC04	CHRISTMAS CLUB FUNDS
AC05	MONEY ON DEPOSIT TO SECURE FUND
AC06	SECURITY DEPOSIT
AC07	UNIDENTIFIED DEPOSITS
AC08	SUSPENSE ACCOUNTS
AC09	SHARE ACCOUNTS
AC21	MISCELLANEOUS DEPOSITS
AC99	AGGREGATE ACCOUNT BALANCES <\$100

### UNCASHED CHECKS

CK01	CASHIER'S CHECKS
CK02	CERTIFIED CHECKS
CK03	REGISTERED CHECKS
CK04	TREASURER'S CHECKS
CK05	DRAFTS
CK06	WARRANTS
CK07	MONEY ORDERS (7 years)
CK08	TRAVELER'S CHECKS (15 years)
CK09	FOREIGN EXCHANGE CHECKS
CK10	EXPENSE CHECKS
CK11	PENSION CHECKS
CK12	CREDIT CHECKS OR MEMOS
CK13	VENDOR CHECKS
CK14	CHECKS WRITTEN OFF TO INCOME
CK15	OTHER OUTSTANDING OFFICIAL CHECKS
CK16	CD INTEREST CHECKS
CK99	AGGREGATE UNCASHED CHECKS <\$100

### MISCELLANEOUS CHECKS

MS01	WAGES, PAYROLL, SALARY (1 year)
MS02	COMMISSIONS (1 year)
MS03	WORKERS' COMPENSATION BENEFITS
MS04	PAYMENT FOR GOODS & SERVICES
MS05	CUSTOMER OVERPAYMENTS
MS06	UNIDENTIFIED REMITTANCES
MS07	UNREFUNDED OVERCHARGES
MS08	ACCOUNTS PAYABLE
MS09	CREDIT BALANCES – A/R
MS10	DISCOUNTS DUE
MS11	REFUNDS DUE
MS12	UNREDEEMED GIFT CERTIFICATES
MS13	UNCLAIMED LOAN COLLATERAL
MS14	PENSION & PROFIT SHARING PLANS (IRA , KEOGH)
MS15	DISSOLUTION OR LIQUIDATION (1 year)
MS16	MISC OUTSTANDING CHECKS
MS17	MISC INTANGIBLE PROPERTY
MS18	SUSPENSE LIABILITIES

MS19	OTHER CASH
MS20	RENTAL PROPERTY INCOME
MS99	AGGREGATE MISC PROPERTY <\$100

### COURT & LOCALITY FUNDS (1 year)

CT01	ESCROW FUNDS
CT02	CONDEMNATION AWARDS
CT03	MISSING HEIRS' FUNDS
CT04	SUSPENSE ACCOUNTS
CT05	OTHER COURT DEPOSITS
CT07	EVIDENCE MONEY
CT08	GENERAL RECEIVER ACCOUNTS
CT09	COURT ORDERED REFUNDS
CT10	PERSONAL PROPERTY TAX OVERPAYMENT
CT11	REAL ESTATE TAX OVERPAYMENT
CT12	COURT HELD ACCOUNTS
CT13	BONDS
CT14	ESTATE ACCOUNTS
CT15	LITIGATIONS
CT16	RESTITUTIONS
CT99	AGGREGATE COURT DEPOSITS <\$100

### INSURANCE

IN01	INDIVIDUAL POLICY BENEFITS OR CLAIMS PD
IN02	GROUP POLICY BENEFITS OR CLAIMS PAID
IN03	PROCEEDS DUE BENEFICIARIES
IN04	PROCEEDS FROM MATURED POLICIES, ENDOWMENTS
IN05	PREMIUM REFUNDS
IN06	UNIDENTIFIED REMITTANCES
IN07	OTHER AMOUNTS DUE UNDER POLICY TERMS
IN08	AGENT CREDIT BALANCES
IN09	ANNUITIES
IN10	DEMUTUALIZATION CASH
IN11	DEMUTUALIZATION SECURITIES
IN99	AGGREGATE INSURANCE PROPERTY <\$100

### TRUST, INVESTMENT AND ESCROW ACCOUNTS

TR01	PAYING AGENT ACCOUNTS
TR02	UNDELIVERED OR UNCASHED DIVIDENDS
TR03	FUNDS HELD IN FIDUCIARY CAPACITY
TR04	ESCROW ACCOUNTS
TR05	TRUST VOUCHERS
TR06	ENDOWMENT FUNDS
TR99	AGGREGATE TRUST PROPERTY <\$100

### UTILITIES

UT01	UTILITY DEPOSITS (1 year upon service termination)
UT02	MEMBERSHIP FEES
UT03	REFUNDS OR REBATES
UT04	CAPITAL CREDIT DISTRIBUTIONS
UT99	AGGREGATE UTILITY PROPERTY <\$100

## MINERAL PROCEEDS & MINERAL INTERESTS

MI01	NET REVENUE INTEREST
MI02	ROYALTIES
MI03	OVERRIDING ROYALTIES
MI04	PRODUCTION PAYMENTS
MI05	WORKING INTEREST
MI06	BONUSES
MI07	DELAY RENTALS
MI08	SHUT-IN ROYALTIES
MI09	MINIMUM ROYALTIES
MI99	AGGREGATE MINERAL INTERESTS <\$100

## TANGIBLE PROPERTY

### SAFE DEPOSIT BOXES & SAFEKEEPING

SD01	SAFE DEPOSIT BOX CONTENTS
SD02	OTHER SAFEKEEPING
SD03	OTHER TANGIBLE PROPERTY

## SECURITY PROPERTY

### SECURITIES

SC01	DIVIDENDS
SC02	INTEREST (BOND COUPONS)
SC03	PRINCIPAL PAYMENTS
SC04	EQUITY PAYMENTS
SC05	PROFITS
SC06	FUNDS PAID TO PURCHASE SHARES
SC07	FUNDS FOR STOCKS AND BONDS
SC08	SHARES OF STOCK (RETURNED BY POST OFFICE)
SC09	CASH FOR FRACTIONAL SHARES
SC10	UNEXCHANGED STOCK OF SUCCESSOR CORP
SC11	OTHER CERTIFICATES OF OWNERSHIP
SC12	UNDERLYING SHARES OR OTHER STANDING CERTIFICATES
SC13	FUNDS FOR LIQUIDATION/REDEMPTION OF UNSURRENDERED STOCK OR BONDS
SC14	DEBENTURES
SC15	US GOVT SECURITIES
SC16	MUTUAL FUND SHARES
SC17	WARRANTS (RIGHTS)
SC18	MATURED BOND PRINCIPAL
SC19	DIVIDEND REINVESTMENT PLANS
SC20	CREDIT BALANCES
SC21	LIQUIDATED MUTUAL FUND SHARES
SC97	MUTUAL FUND IRA/RETIREMENT ACCTS
SC99	AGGREGATE SECURITY RELATED CASH <\$100

## MISCELLANEOUS

ZZZZ PROPERTIES NOT IDENTIFIED ABOVE

## Dormancy Requirements

Category of Property	Code Section	1 Year	2 Years	3 Years	5 Years	7 Years	10 Years	15 Years
Bank and Financial Institution Funds DDA, TDA, CD Bank Check and Drafts	§ 55-210.3:01 § 55-210.3:2				✓			
Travelers Checks	§ 55-210.3:02							✓
Money Orders	§ 55-210.3:02					✓		
Safe Deposit/ Safe Keeping	§ 55-210.3:3				✓			
Life Insurance Funds Limiting age under mortality table reached All other Life Insurance proceeds	§ 55-210.4:01		✓		✓			
Other Insurance Property	§ 55-210.4:1 & § 55-210.2:1				✓			
Utility Property Security Deposits(upon service termination) All other Utility Property	§ 55-210.5 § 55-210.2:1	✓			✓			
Securities/Equities/Debt/Dividends/Interest	§ 55-210.6:1				✓			
Court Ordered Refunds	§ 55-210.6:2	✓						
Dissolution of Business	§ 55-210.7	✓						
Fiduciary Property	§ 55-210.8				✓			
Gift Certificates* and Credit Balances *see Code Section for exceptions	§ 55-210.8:1				✓			
Wages	§ 55-210.8:2	✓						
Governmental Agency/Public Corp. or Authority	§ 55-210.9	✓						
Courts/General Receivers	§ 55-210.9:1	✓						
Employee Benefit Trust Distributions	§ 55-210.10:1						✓	
All Other Property	§ 55-210.2:1				✓			
Early Reporting- Any Property	§ 55-210.10:2							



## Date Chart

Corporations/Hospitals/Colleges/Financial Institutions/Public Agencies				Insurance Companies (incl. Title Insurance)			
<b>REPORT YEAR</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>REPORT YEAR</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>
<b>REPORT DUE DATE</b>	11/01/04	11/01/05	11/01/06	<b>REPORT DUE DATE</b>	05/01/05	05/01/06	05/01/07
<b>Effective date of report</b>	6/30/2004	6/30/2005	6/30/2006	<b>Effective date of report</b>	12/31/2004	12/31/2005	12/31/2006
<b>Due Diligence - to be performed no later than</b>	9/1/2004	9/1/2005	9/1/2006	<b>Due Diligence - to be performed no later than</b>	3/1/2005	3/1/2006	3/1/2007
<b>Last activity dates to be included in the report</b>				<b>Last activity dates to be included in the report</b>			
<b>1 year Holding Period</b>	06/30/03 and prior	06/30/04 and prior	06/30/05 and prior	<b>Payroll/Wages</b>	12/31/03 and prior	12/31/04 and prior	12/31/05 and prior
				<b>1 Year Holding Period</b>			
<b>2 year Holding Period</b>	06/30/02 and prior	06/30/03 and prior	06/30/04 and prior	<b>Limiting Age</b>	12/31/02 and prior	12/31/03 and prior	12/31/04 and prior
				<b>Life Insurance - 2 Year Holding Period</b>			
<b>5 year Holding Period</b>	06/30/99 and prior	06/30/00 and prior	06/30/01 and prior	<b>AP/ARCB/All Other</b>	12/31/99 and prior	12/31/00 and prior	12/31/01 and prior
				<b>Policy Proceeds - 5 Year Holding Period</b>			
<b>7 year Holding Period</b>	06/30/97 and prior	06/30/98 and prior	06/30/99 and prior				
<b>15 year Holding Period</b>	06/30/89 and prior	06/30/90 and prior	06/30/91 and prior				

## STEP 2

### PERFORM DUE DILIGENCE

Attempt to contact the owners of any accounts with a value of \$100 or more by mailing a first class letter to their last known address. A sample letter has been included to assist you. Failure to perform due diligence as prescribed by §55-210.12 can result in a civil penalty of up to \$50 per account upon which due diligence was not performed (§55-210.26:1, subsection B).

#### Sample Due Diligence Letter

July 31, 2003

Mr. and Mrs. Good Customer  
100 Any Street  
Richmond, Virginia 23218

Dear Mr. and Mrs. Customer:

It is our policy to review and update our account records periodically. Our records indicate no customer generated transactions have occurred on your account since (LAST DATE OF ACTIVITY). State law requires us to report and remit the funds in this account to the state if we have not had customer-generated activity with you for a specified period of time. To prevent us from reporting and remitting your account to the state unclaimed property office, please check the appropriate box, sign in the space provided below, and return this form to us no later than (2 weeks).

☐ The above address information is correct for the account and I am aware of the account.

☐ Please change the account holder(s) name and/or address as follows:

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☐ I wish to close this account. Please send a check for the close-out amount to the following address:

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\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Your assistance is appreciated. If we can assist you in any way, please contact our office.

Sincerely

# VIRGINIA

## CALENDAR OF UNCLAIMED PROPERTY ACTIONS

<b>JANUARY 1</b>  <i>☞ Begin due diligence</i>	<b>FEBRUARY</b>	<b>MARCH 1</b> <i>☞ Complete due diligence process</i>  <i>☞ Report packages and demand letter mailed to Insurance companies</i>
<b>APRIL 1</b>  <i>☞ Insurance companies should have received report packages and demand letter</i>	<b>MAY 1</b>  <i>☞ Due date for report and remittance</i>	<b>JUNE</b>
<b>JULY 1</b>  <i>☐ Begin due diligence</i>	<b>AUGUST</b>  <i>☐ Report packages and demand letter mailed to holders</i>	<b>SEPTEMBER</b> <i>☐ Complete due diligence process</i>  <i>☐ Holders should have received report packages and demand letter</i>
<b>OCTOBER 1</b>	<b>NOVEMBER 1</b>  <i>☐ Due date for report and remittance</i>	<b>DECEMBER</b>    <b>RELAX!!</b>

*☞ Insurance Companies*

*☐ All Other Business Entities*

# STEP 3

## Report and Remit

### Forms and Instructions

All necessary forms and instructions are included in this publication. If you have any questions, call Bill Dadmun (804) 225-2547 or Marketa Lee (804) 225-2463.

**Beginning July 1, 2004, any report of unclaimed property containing 25 or more properties must be reported electronically utilizing the NAUPA format.**

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**REMITTANCES MUST BE SENT WITH THE REPORTS AND POSTMARKED BY NOVEMBER 1 (MAY 1 FOR INSURANCE COMPANIES). ANY REPORT RECEIVED WITHOUT THE REMITTANCE WILL CONSTITUTE FAILURE TO COMPLY WITH SECTION 55-210.12 OF THE CODE OF VIRGINIA. PENALTIES AND INTEREST WILL BEGIN TO ACCRUE ON THE NOVEMBER 1 (MAY 1 FOR INSURANCE COMPANIES) DEADLINE FOR REPORTS NOT POSTMARKED BY THIS DATE.**

**Checks should be made payable to: Treasurer of Virginia**

**To remit unclaimed property using EFT or Wire Transfer, you will need the following information:**

Bank of America/VA

ABA#

Account #

Commonwealth of Virginia

Please contact Marketa Lee at (804) 225-2463 to obtain these numbers

In order to receive proper credit for this transaction, you **must**: Fax confirmation of the transaction to Marketa Lee at (804) 786-4653 including the following description:

“Unclaimed Property remittance from (Holder name)”

# COMMONWEALTH OF VIRGINIA

## DEPARTMENT OF THE TREASURY DIVISION OF UNCLAIMED PROPERTY ELECTRONIC REPORTING



The Commonwealth of Virginia has adopted the standard electronic holder reporting format prepared by the National Association of Unclaimed Property Administrators (NAUPA). Beginning in 2004, any report containing 25 or more properties **MUST** be reported electronically utilizing this format. A copy of this record layout is available at our website: [www.trs.virginia.gov/ucp/ucpguide.asp](http://www.trs.virginia.gov/ucp/ucpguide.asp). Please note – you must still file a signed AP-1 form or other approved document certifying the accuracy of the report.

### Electronic Reporting Media Requirements

We are now requiring electronic reports to be sent on diskette, CD-R/W or uploaded to our website (see below for details). Please write protect any diskette sent using the write protect tab. Place a non-removable tape over the tab lock and include a creation date and time stamp on the label. Please see the [Revised NAUPA II Standard Electronic File Format](#) document on our website for further requirements. In order to transfer your report to the Virginia Unclaimed Property Holder Reporting database via FTP upload, you must first register. E-mail us at [ucpupload@trs.virginia.gov](mailto:ucpupload@trs.virginia.gov) with your company name and Federal Identification Number. We will provide you with a user name and a password to log on to our reporting database. Once you have logged on, you will be asked to review and correct information in your holder profile. This information will be used to help us stay in contact with you. Upon completion of this update, you will be able to transfer your report to us. This site is secure and will allow you to see only the information you have reported. **All electronic reports must be in the NAUPA format.** Excel spreadsheets, Word documents or Access databases will not be accepted. New filers are encouraged to submit test files. DRS (Disk Reporting Software) is available for download at the Treasury website on the Holder Reporting Forms & Instructions page. This software allows you to input information into the NAUPA format. If you have questions regarding the use of the NAUPA format or the use of this software, contact Bill Dadmun, (804)225-2547, or [William.Dadmun@trs.virginia.gov](mailto:William.Dadmun@trs.virginia.gov).



For more information about electronic reporting and to receive a copy of our Electronic Holder Reporting Guide you may call the number below, e-mail Bill Dadmun with your request or visit us at our website.

COMMONWEALTH of VIRGINIA  
Department of the Treasury  
Division of Unclaimed Property  
P.O. Box 2478  
Richmond, Virginia 23218-2478



Electronic reporting contact:  
Patty Hines 804-225-2472  
[PATTY.HINES@TRS.VIRGINIA.GOV](mailto:PATTY.HINES@TRS.VIRGINIA.GOV)  
Visit us at  
[WWW.TRS.VIRGINIA.GOV](http://WWW.TRS.VIRGINIA.GOV)

# Reporting and Delivery of Securities Property

## STOCKS, BONDS, AND OTHER SECURITIES CERTIFICATE SHARES:

**When reporting securities, please remember that your report is not complete until you provide evidence of the property being transferred into the ownership of the Commonwealth. The required evidence depends on the type of security and how it will be delivered to the Commonwealth.**

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### Physical Certificates

For all securities reported and delivered in certificate form, the full security name and CUSIP number must be included on your Report of Unclaimed Property. Certificates must be registered as shown below, the original certificate sent to our transfer agent at the address listed below and **a photocopy of the certificate delivered with your report**. Please be advised that certificates registered incorrectly will be returned to you for re-registration and your report will be considered incomplete. Two days prior to actual delivery, we request an intent to deliver (a list of the securities). That list should include cusip numbers, number of shares, issue names, certificate number, and registration for each security to be delivered. That information should be faxed to ACS Unclaimed Property Clearinghouse at (617)722-9660, attn. Vilka Markovich and to the Division of Unclaimed Property at (804)786-4653, attn Report/Remit. **Only one certificate must be delivered for each security position reported.**

Old Dominion & Co.  
FEIN# 75-3121674

Mellon Security Trust Company  
120 Broadway  
13<sup>th</sup> Floor-Teller Window  
New York, NY 10271

If owners are due fractional shares, convert the fractional shares to cash and remit as “cash in lieu” per owner. **Do not combine the fractional shares for multiple owners.**

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### DTC Delivery:

When reporting and remitting securities via DTC, please be sure to include the issuer’s FEIN Number, the CUSIP Number and the full security name on your Report of Unclaimed Property. Non-certificate Securities must be delivered to an account with the below nominee name and FEIN. **A confirmation statement (from the recipient) or a list of the issues, cusip number, number of shares and date of delivery for each issue must accompany your Report of Unclaimed Property for your report to be considered complete.** Two days prior to actual delivery, we request an intent to deliver (a list of the securities) including cusip numbers, number of shares, issue names, and the delivering party’s DTC participant number. That information should be faxed to ACS Unclaimed Property Clearinghouse at (617)722-9660, attn. Vilka Markovich and to the Division of Unclaimed Property at (804)786-4653, attn Report/Remit.

#### Nominee Name:

Old Dominion & Co.  
FEIN # 75-3121674

DTC Participant # 0954  
Account # AUZF0340702  
Agent Bank # 26017

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### Dividend Reinvestment Plan Shares

When reporting Dividend Reinvestment Plan shares, please be sure to include the issuer’s FEIN Number, the CUSIP Number and the full security name on your Report of Unclaimed Property. Non-certificate Securities must be delivered to an account with the below nominee name and FEIN. **A confirmation statement showing Old Dominion & Co as the owner of the shares must accompany your Report of Unclaimed Property for your report to be considered complete.** Two days prior to actual delivery, we request an intent to deliver (a list of the securities). That list should include cusip numbers, number of shares, issue names, and the delivering party’s DTC participant number. That information should be faxed to ACS Unclaimed Property Clearinghouse at (617)722-9660, attn. Vilka Markovich and to the Division of Unclaimed Property at (804)786-4653, attn Report/Remit.

Old Dominion & Co.  
FEIN# 75-3121674

c/o ACS Unclaimed Property Clearinghouse  
260 Franklin St, 11<sup>th</sup> floor  
Boston, MA 02110

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Report securities for owners with the last known addresses outside Virginia directly to the state of the owners' last known address. Virginia will not accept reciprocal reporting of securities.

**\*NEW for 2004\*** - Virginia no longer requires a report for worthless securities. If the security returns to a position of value, it must then be reported based on the last activity date in effect when it would have originally been reported.

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**NON-CERTIFICATE SHARES:  
(Non DTC eligible Book-Entry Securities):**

When reporting non-certificated securities, please be sure to include the issuer's FEIN Number, the CUSIP Number and the full security name on your Report of Unclaimed Property. Non-certificate Securities must be delivered to an account with the below registration and a confirmation statement must accompany your Report of Unclaimed Property for your report to be considered complete.

You do have the option of DWAC as a transfer mechanism for these securities. To do so, contact Kate Pellettier, Client Liaison with ACS and provide her with the following information: cusip number, name of the security, number of shares, account number at ACS , DWAC # (if any), and Contact Person to call if there are any problems.

Contact Information:

[Kathleen.Pellettier@acs-inc.com](mailto:Kathleen.Pellettier@acs-inc.com)  
(617) 722-9656

**REGISTRATION FOR NON-CERTIFICATE & NON -DTC ELIGIBLE SECURITIES  
(OTHER THAN MUTUAL FUNDS):**

**Old Dominion & CO.  
P.O. BOX 2478  
RICHMOND, VA 23218-2478  
FEIN: 75-3121674**

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**MUTUAL FUNDS**

When reporting Mutual Funds, please be sure to include the complete Fund name, the FEIN Number, and the CUSIP Number for the Fund. Mutual Fund Shares must be delivered to an account with the below registration, and **a statement showing the shares in the Commonwealth's name must accompany your Report of Unclaimed Property for your report to be considered complete.**

**REGISTRATION FOR MUTUAL FUNDS:**

**COMMONWEALTH OF VIRGINIA  
DEPARTMENT OF THE TREASURY  
DIVISION OF UNCLAIMED PROPERTY  
P.O. BOX 2478  
RICHMOND, VA 23218-2478  
FEIN: 54-6001745**



# For those companies reporting tangible properties

All tangible property **must be reported on a paper report** that accompanies the property when it is submitted to the Department of Treasury and should not be reported electronically. If you have both tangible and intangible property to report, you may report the intangible property electronically and report the tangible property on a separate paper report.

Pursuant to § 55-210.23 of the Code of Virginia, the State Treasurer can elect not to receive property or to postpone the delivery of the property. To handle the process of receiving your tangible property more efficiently, we are requesting that you provide your report to our office by the due date.

Currency and coin with a value that does not exceed the face amount should be remitted as a check payable to the Treasurer of Virginia. Collectable coins should be delivered as is with other tangible property. You will receive written notification of which items to remit. Our office will always decline the following:

## **UNACCEPTABLE**

Items labeled "**BioHazard**" or containing Biohazard materials, Firearms/Weapons/Ammunition, Unsanitary Items, Automobiles/Motorcycles/Boats/Bicycles, Items of a Personal Nature such as: Combs/Brushes, Nail Clippers, Prosthetics, False Teeth, Clothing, Eyeglasses, Medications, etc.

When reporting tangible property, **the AP-1 form must accompany the remittance of property: DO NOT ENCLOSE CHECKS OR REPORT FORMS IN THE BOX OR PACKAGE.**

Please contact the Receipts and Records Supervisor to schedule a time for you to deliver tangible property. (804) 225-2463 or 1-800-468-1088.

Small packages may also be sent via registered mail to:

Commonwealth of Virginia  
Department of the Treasury  
Division of Unclaimed Property  
P. O. Box 2478  
Richmond, VA 23218

For hand delivery:

Commonwealth of Virginia  
Department of the Treasury  
Division of Unclaimed Property  
101 N. 14th Street, 3rd Floor  
Richmond, VA 23219



## Instructions for preparing THE AP-1 FORM

### Please Read Carefully

Information on the report forms must be typed. The AP-1 form contains items numbered 1 through 14. Numbers 2, 3, 6, 7, 8, 9 and 13 are self-explanatory. Below are explanations for other blank spaces on the form.

Your company name and address should be pre-printed on this booklet's address label for you to peel and stick on AP-1 Form. If there are any corrections or if the area is blank, please use the lines to provide this information.

If a name has changed, please explain (example: Merged with ABC Corporation effective 7/1/XXXX).

1. The contact person should be the individual responsible for answering any questions concerning your Report of Unclaimed Property. **Please include the contact person's telephone number.**
4. The federal identification number (FEIN) must be listed.
5. North American Industry Classification System (NAICS) Code per IRS regulations, (formerly SIC). For further assistance, visit:  
<http://www.census.gov/epcd/www/naicstab.htm>
10. Indicate date due diligence was performed in accordance with 55-210.12 (e) of The Uniform Disposition of Unclaimed Property Act, Code of Virginia.
11. Indicate report year (i.e. If report is due November 1, 2004, REPORT YEAR = 2004).  
This is property due for remittance on or before July 1, 2003 to June 30, 2004

### Type of Report

**Regular** – Holder's annual report due November 1 (May 1 for Insurance companies)

**Audit** – Report filed as a result of an Unclaimed Property Audit

**Negative** – No unclaimed property to report (**NO REPORT REQUIRED**)

**Other** – Not specifically identified above (amnesty, prorated reports)

12. Indicate the media/method by which you reported the detail information on the properties included in your report.
14. Check all property types included on this report – cash, securities, mutual funds, or tangible property.

The back of the AP-1 form consists of property codes, which should be used to complete Column 3 of the AP-2 form. **The total number of items and the total dollar amount should be entered at the end of each property type.**

For security property, please state the number of different securities, CUSIP numbers, total number of shares, and total number of items delivered.

**The statement on the AP-1 form must be completed and signed by an authorized official certifying the accuracy of the report. The AP-1 form must be submitted with the report, including all electronic reports.**



**COMMONWEALTH OF VIRGINIA  
DEPARTMENT OF THE TREASURY**

**Division of Unclaimed Property**

**P O Box 2478**

**Richmond, VA 23218**

**(804) 225-2393 FAX (804) 786-4653 TOLL FREE 1-800-468-1088**

**Attach Mailing Label Below**

Holder Name	Holder Number
Address	
City, State Zip Code	

CHECK AMOUNT \_\_\_\_\_  
CHECK # \_\_\_\_\_  
DEPOSIT DATE \_\_\_\_\_  
INITIALS \_\_\_\_\_  
INTEREST PAYMENT AMOUNT  
\$ \_\_\_\_\_

**API FORM FOR REPORT OF UNCLAIMED PROPERTY**

1. Contact person:  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Department: \_\_\_\_\_  
Telephone Number: \_\_\_\_\_  
FAX Number: \_\_\_\_\_
2. If the address above is incorrect, please correct here:  
\_\_\_\_\_  
\_\_\_\_\_
3. Please provide  
e-mail address \_\_\_\_\_

**ABOUT THIS BUSINESS ENTITY:**

4. Federal Employer Identification Number \_\_\_\_\_ 5. Standard Industry Code \_\_\_\_\_
6. State of Incorporation (or locality where business license is filed if not incorporated) \_\_\_\_\_
7. Date of Incorporation \_\_\_\_\_ 8. Primary Business Activity \_\_\_\_\_
9. Annual Gross Sales \$ \_\_\_\_\_ Assets \$ \_\_\_\_\_ # of Employees \_\_\_\_\_

**ABOUT THIS REPORT:**

10. Date(s) Due Diligence was Performed \_\_\_\_\_
11. This report is for Report Year \_\_\_\_\_ and the type of report is **REGULAR** ☐ **AUDIT** ☐ **NEGATIVE** ☐ **OTHER** \_\_\_\_\_
12. This report has the following media attached to report the property details: ☐ **REPORT UPLOADED TO WEBSITE**  
☐ **DISKETTE/CD** ☐ **HARD COPY-PAPER, CONSISTING OF** \_\_\_\_\_ **PAGES**
13. This is the first time this business entity has filed an Unclaimed Property Report: **YES** ☐ **NO** ☐
14. Property types on this report include: **CASH** ☐ **SECURITIES** ☐ **MUTUAL FUNDS** ☐ **TANGIBLE PROPERTY** ☐

**IMPORTANT NOTICE:** Your remittance *must* accompany this report and an authorized representative of your business must complete the certification that follows. Please complete the summary information on the reverse of this page, and mail your report and remittance to the address at the top of this form. Pursuant to §55-210.26:1 of the Code of Virginia, interest and penalties may be imposed for failure to report and remit as required.

I, \_\_\_\_\_, **CERTIFY THAT I HAVE CAUSED TO BE PREPARED AND HAVE EXAMINED THIS REPORT AS TO PROPERTY PRESUMED ABANDONED UNDER THE VIRGINIA UNCLAIMED PROPERTY LAW FOR THE YEAR ENDING AS STATED, THAT I AM DULY AUTHORIZED TO EXECUTE THIS VERIFICATION BY THE HOLDER AND BY LAW AND THAT I BELIEVE THAT SAID REPORT IS TRUE, CORRECT, AND COMPLETE AS OF SAID DATE, EXCEPTING FOR SUCH PROPERTY AS HAS SINCE CEASED TO BE ABANDONED. THIS REPORT TOTALS # \_\_\_\_\_ PROPERTIES FOR \$ \_\_\_\_\_ AND # \_\_\_\_\_ SHARES.**

**SIGNATURE** \_\_\_\_\_

**TITLE** \_\_\_\_\_ **DATE** \_\_\_\_\_

POSTMARK DATE		BATCH #		HOLDER UPDATED		BALANCED BY		DATE COMPLETED	
# OF OWNERS		# SHARES REPORTED		ENTERED BY		DATE BEGAN		DATE COMPLETED	

**CASH PROPERTY****ACCOUNT BALANCES DUE**

AC01 CHECKING ACCOUNTS  
AC02 SAVINGS ACCOUNTS  
AC03 MATURED CD OR SAVINGS CERTIFICATE  
AC04 CHRISTMAS CLUB FUNDS  
AC05 MONEY ON DEPOSIT TO SECURE FUND  
AC06 SECURITY DEPOSIT  
AC07 UNIDENTIFIED DEPOSITS  
AC08 SUSPENSE ACCOUNTS  
AC09 SHARE ACCOUNTS  
AC21 MISCELLANEOUS DEPOSITS  
AC99 AGGREGATE ACCOUNT BALANCES <\$100

**UNCASHED CHECKS**

CK01 CASHIER'S CHECKS  
CK02 CERTIFIED CHECKS  
CK03 REGISTERED CHECKS  
CK04 TREASURER'S CHECKS  
CK05 DRAFTS  
CK06 WARRANTS  
CK07 MONEY ORDERS  
CK08 TRAVELER'S CHECKS  
CK09 FOREIGN EXCHANGE CHECKS  
CK10 EXPENSE CHECKS  
CK11 PENSION CHECKS  
CK12 CREDIT CHECKS OR MEMOS  
CK13 VENDOR CHECKS  
CK14 CHECKS WRITTEN OFF TO INCOME  
CK15 OTHER OUTSTANDING OFFICIAL CHECKS  
CK16 CD INTEREST CHECKS  
CK99 AGGREGATE UNCASHED CHECKS <\$100

**MISCELLANEOUS CHECKS**

MS01 WAGES, PAYROLL, SALARY  
MS02 COMMISSIONS  
MS03 WORKERS' COMPENSATION BENEFITS  
MS04 PAYMENT FOR GOODS & SERVICES  
MS05 CUSTOMER OVERPAYMENTS  
MS06 UNIDENTIFIED REMITTANCES  
MS07 UNREFUNDED OVERCHARGES  
MS08 ACCOUNTS PAYABLE  
MS09 CREDIT BALANCES – A/R  
MS10 DISCOUNTS DUE  
MS11 REFUNDS DUE  
MS12 UNREDEEMED GIFT CERTIFICATES  
MS13 UNCLAIMED LOAN COLLATERAL  
MS14 PENSION & PROFIT SHARING PLANS (IRA , KEOGH)  
MS15 DISSOLUTION OR LIQUIDATION  
MS16 MISC OUTSTANDING CHECKS  
MS17 MISC INTANGIBLE PROPERTY  
MS18 SUSPENSE LIABILITIES  
MS19 OTHER CASH  
MS20 RENTAL PROPERTY INCOME  
MS99 AGGREGATE MISC PROPERTY <\$100

**COURT & LOCALITY FUNDS**

CT01 ESCROW FUNDS  
CT02 CONDEMNATION AWARDS  
CT03 MISSING HEIRS' FUNDS  
CT04 SUSPENSE ACCOUNTS  
CT05 OTHER COURT DEPOSITS  
CT07 EVIDENCE MONEY

CT08 GENERAL RECEIVER ACCOUNTS  
CT09 COURT ORDERED REFUNDS  
CT10 PERSONAL PROPERTY TAX OVERPAYMENT  
CT11 REAL ESTATE TAX OVERPAYMENT  
CT12 COURT HELD ACCOUNTS  
CT13 BONDS  
CT14 ESTATE ACCOUNTS  
CT15 LITIGATIONS  
CT16 RESTITUTIONS  
CT99 AGGREGATE COURT DEPOSITS <\$100

**INSURANCE**

IN01 INDIVIDUAL POLICY BENEFITS OR CLAIMS PD  
IN02 GROUP POLICY BENEFITS OR CLAIMS PAID  
IN03 PROCEEDS DUE BENEFICIARIES  
IN04 PROCEEDS FROM MATURED POLICIES,  
ENDOWMENTS  
IN05 PREMIUM REFUNDS  
IN06 UNIDENTIFIED REMITTANCES  
IN07 OTHER AMOUNTS DUE UNDER POLICY TERMS  
IN08 AGENT CREDIT BALANCES  
IN09 ANNUITIES  
IN10 DEMUTUALIZATION CASH  
IN11 DEMUTUALIZATION SECURITIES  
IN99 AGGREGATE INSURANCE PROPERTY <\$100

**TRUST, INVESTMENT AND ESCROW ACCOUNTS**

TR01 PAYING AGENT ACCOUNTS  
TR02 UNDELIVERED OR UNCASHED DIVIDENDS  
TR03 FUNDS HELD IN FIDUCIARY CAPACITY  
TR04 ESCROW ACCOUNTS  
TR05 TRUST VOUCHERS  
TR06 ENDOWMENT FUNDS  
TR99 AGGREGATE TRUST PROPERTY <\$100

**UTILITIES**

UT01 UTILITY DEPOSITS  
UT02 MEMBERSHIP FEES  
UT03 REFUNDS OR REBATES  
UT04 CAPITAL CREDIT DISTRIBUTIONS  
UT99 AGGREGATE UTILITY PROPERTY <\$100

**MINERAL PROCEEDS & MINERAL INTERESTS**

MI01 NET REVENUE INTEREST  
MI02 ROYALTIES  
MI03 OVERRIDING ROYALTIES  
MI04 PRODUCTION PAYMENTS  
MI05 WORKING INTEREST  
MI06 BONUSES  
MI07 DELAY RENTALS  
MI08 SHUT-IN ROYALTIES  
MI09 MINIMUM ROYALTIES  
MI99 AGGREGATE MINERAL INTERESTS <\$100

**CASH PROPERTY SUMMARY:**

**TOTAL CASH REMITTED:** \_\_\_\_\_

**TOTAL # OF ITEMS:** \_\_\_\_\_

**TANGIBLE PROPERTY****SAFE DEPOSIT BOXES & SAFEKEEPING**

SD01 SAFE DEPOSIT BOX CONTENTS  
SD02 OTHER SAFEKEEPING  
SD03 OTHER TANGIBLE PROPERTY

**TANGIBLE PROPERTY SUMMARY:**

**TOTAL ITEM COUNT:** \_\_\_\_\_

**TOTAL # OF OWNERS:** \_\_\_\_\_

**SECURITY PROPERTY****SECURITIES**

SC01 DIVIDENDS  
SC02 INTEREST (BOND COUPONS)  
SC03 PRINCIPAL PAYMENTS  
SC04 EQUITY PAYMENTS  
SC05 PROFITS  
SC06 FUNDS PAID TO PURCHASE SHARES  
SC07 FUNDS FOR STOCKS AND BONDS  
SC08 SHARES OF STOCK (RETURNED BY POST  
OFFICE)  
SC09 CASH FOR FRACTIONAL SHARES  
SC10 UNEXCHANGED STOCK OF SUCCESSOR CORP  
SC11 OTHER CERTIFICATES OF OWNERSHIP  
SC12 UNDERLYING SHARES OR OTHER  
STANDING CERTIFICATES  
SC13 FUNDS FOR LIQUIDATION/REDEMPTION OF  
UNSURRENDERED STOCK OR BONDS  
SC14 DEBENTURES  
SC15 US GOVT SECURITIES  
SC16 MUTUAL FUND SHARES  
SC17 WARRANTS (RIGHTS)  
SC18 MATURED BOND PRINCIPAL  
SC19 DIVIDEND REINVESTMENT PLANS  
SC20 CREDIT BALANCES  
SC21 LIQUIDATED MUTUAL FUND SHARES  
SC97 MUTUAL FUND IRA/RETIREMENT ACCTS  
SC99 AGGREGATE SECURITY RELATED CASH <\$100

**SECURITY PROPERTY SUMMARY:**

**TOTAL SHARES REMITTED:** \_\_\_\_\_

**TOTAL # OF ITEMS:** \_\_\_\_\_

**MISCELLANEOUS**

ZZZZ PROPERTIES NOT IDENTIFIED ABOVE

## THE AP-2 FORM

**This form can be reproduced to accommodate additional owner accounts.** If the AP-2 form is not used, the adopted format (preferred font size is 12) must comply with that of the AP-2 form. **Reports, which do not comply, will be returned and considered past due.** The top section of this form should show the same information as on the AP-1 form. The period covered should indicate the last dates of activity for the property being reported. Please give the range of dates listed in Column 6.

COLUMN 1: Number owners sequentially (1,2,3...).

COLUMN 2: (Property Code) Transfer the correct code from the AP-1 form which applies to each individual account. If the property code is "OTHER," please describe in Column 11.

COLUMN 3: (Identifying Number) Insert the account number, check number, policy number, case number (example: courts, governmental agencies, etc.) or other identifying number.

COLUMN 4: (Owner's Name and Address) List the owners alphabetically with the last name first and any address information. If the account has more than one owner, please specify any legal language such as joint tenant, beneficiary, trustee, Uniform Gift to Minors, etc., beside the correct name.

COLUMN 5: (Social Security Number) List the social security number for each owner including accounts with more than one owner.

COLUMN 6: (Date of Last Transaction) Specify the date of the last deposit or withdrawal made by the owner, the date the property became payable or distributable, or the date a check or draft was issued. If the property is an automatically renewable savings certificate or dividend reinvestment plan, the holding period starts at the date of the second mailing that is returned undeliverable or the date mailings were discontinued.

COLUMN 7: (Amount Due Owner Before Deductions and Withholdings) Specify the amount due an owner before any deductions.

COLUMN 8a: (Type Code for Deductions or Withholdings) The following type codes must be used for this section:

- "SC" - service charge deduction
- "IW" - interest withheld or discontinued
- "DW" - dividends withheld or discontinued
- "FTW" - federal tax withheld due to back up withholding
- "OTH" - other (Describe in Column 12)

COLUMN 8b: (Deductions and Withholdings) Enter the amounts you are deducting or withholding from the owner account. No service charge, fee or assessment may be deducted nor should interest or dividends cease to accrue on property presumed abandoned. If such deductions are made, you must include a copy of the contract authorizing such charges or the authorization for the discontinuance of interest or dividend payments.

COLUMN 9: (Amount Remitted as Due Owner) Specify the total dollar amount or number of shares you are remitting for each owner.

COLUMN 10: (Interest Rate) Complete this column only if the owner account is an interest bearing account. Please identify the interest rate. **If an interest rate is not supplied, the report will be considered incomplete and held until the interest rate is provided in writing.**

COLUMN 11: (Tangible Property, Mutual Funds, Securities, Description or Comments) Describe the contents of safe deposit boxes, jewelry, stock certificates, etc. **The full security name and CUSIP number must be provided, for all reported securities, including mutual funds.** Please include any other pertinent information regarding the securities (i.e. cash-in-lieu rate, any stock splits, or other corporate activity). Enter any additional information you have on an owner (example: date of birth or death, owner's employer, style of court case, FEIN number). **If the fund is an IRA or retirement account, please use the proper type code and the shareholder's date of birth must be stated in this column.**

When reporting tangible property, the AP-1 Form must accompany the remittance of property: do not enclose checks or report forms in the box or package. If the Receipts and Records Supervisor has not scheduled a time for you to deliver tangible property, you may call (804) 225-2463 or 1-800-468-1088. Tangible property may also be sent via registered mail to: Department of the Treasury, Division of Unclaimed Property, Post Office Box 2478, Richmond, VA 23218-2478.

**MUTUAL FUNDS** should be transferred into the name “**Commonwealth of Virginia, Department of the Treasury, Division of Unclaimed Property**”, FEIN 54-6001745, to be held in book entry form. The CUSIP number and FEIN number for the issuing company must be provided. The appropriate confirmation statement must accompany the Report of Unclaimed Property. Please see “**Reporting and Delivery of Securities Property**” for complete instructions.

**SECURITIES**, Certificated shares, and Dividend Reinvestment Plan (DRP) shares, should be transferred to the Virginia Treasurer’s nominee name. If owners are due fractional shares, convert the fractional shares to cash and remit as “cash in lieu” per owner. **Do not combine the fractional shares for multiple owners.**

#### **REGISTRATION FOR CERTIFICATED SECURITIES AND DIVIDEND REINVESTMENT PLANS SHARES:**

**Please review the section “Reporting and Delivery of Securities Property” for specific requirements.**

**COLUMNS 7, 8b, and 9** should be totaled on each page. The totals should include totals brought forward from the previous page. Confirm that the total amount reported agrees with your remittance amount. In addition, securities reported must agree with securities delivered.

**AGGREGATE:** Items under \$100 may be reported as one figure by stating the total number of items and amount being remitted (example: 20 items less than \$100 each totaling – \$2,000.00). Should you report in this manner, you will be required to provide verification of the report year and amount remitted when the owner makes a claim. To prevent us from having to contact you later for this information, you are encouraged to attach a detailed listing of owners that make up the aggregate amount. **PLEASE PLACE AN AGGREGATE DETAIL LIST AT THE END OF THE REPORT!**

HOLDER (Name of Business)		REPORT YEAR 19 ____ REPORT YEAR 20 ____	<b>TYPE OF REPORT</b> <input type="checkbox"/> CASH <input type="checkbox"/> SECURITIES <input type="checkbox"/> MUTUAL FUNDS <input type="checkbox"/> TANGIBLE Office Use Only
ADDRESS		FED ID#	
CITY, STATE, ZIP		PERIOD COVERED FROM: _____ TO: _____	

COMMONWEALTH OF VIRGINIA

Department of the Treasury  
Division of Unclaimed Property

P.O. Box 2478  
Richmond, Virginia 23218-2478



**REPORT OF UNCLAIMED PROPERTY**

MUST BE TYPED									
NUMBER THE OWNERS SEQUENTIALLY (1)	PROPERTY CODE (2)	OWNER(S) NAME, ADDRESS, CITY, STATE & ZIP LIST ALPHABETICALLY BY LAST NAME, FIRST AND MIDDLE INITIAL, (IF JOINT OWNER, BENEFICIARY, TRUSTEE, ETC., SPECIFY BY NAME.) (4)	OWNER SOCIAL SECURITY NUMBER (5)	DATE OF LAST TRANSACTION/ DATE PROPERTY BECAME PAYABLE, REDEEMABLE, OR RETURNABLE (6)	AMOUNT DUE OWNER BEFORE DEDUCTION AND WITHHOLDING (7)	DEDUCTION OR WITHHOLDING (SEE INSTRUCTIONS)	AMOUNT/ NUMBER OF SHARES REMITTED AS DUE OWNER (9)	INTEREST RATE (10)	Description of tangible property, mutual funds, securities (to include CUSIP # where applicable) Or comments (see instructions) (11)
	IDENTIFYING NUMBER (3)					TYPE AMOUNT (8a) / (8b)			
<b>EXAMPLE:</b> I.	AC02 1234567	PUBLIC, JOHN Q. PUBLIC, MARY Z. (co-owner) 1234 Any Street Any City, State and Zip Code	000-00-0000	4/6/86	\$155.00	SC / \$5.00	\$150.00	6%	John Public's Date of Birth is 6/3/42 Account Opened 5/2/72
TOTALS BROUGHT FORWARD FROM PREVIOUS PAGE					\$	\$	\$		
AP-2, 07/2001 SUBMIT YOUR REPORT AND REMITTANCE BY NOVEMBER 1 OF REPORT YEAR (MAY 1 FOR INSURANCE COMPANIES)					\$	\$	\$	TOTALS CARRIED FORWARD TO NEXT PAGE	

NUMBER THE OWNERS SEQUENTI ALLY (1)	PROPERTY CODE (2)	OWNER(S) NAME, ADDRESS, CITY, STATE & ZIP LIST ALPHABETICALLY BY LAST NAME, FIRST AND MIDDLE INITIAL, (IF JOINT OWNER, BENEFICIARY, TRUSTEE, ETC., SPECIFY BY NAME.) (4)	OWNER SOCIAL SECURITY NUMBER (5)	DATE OF LAST TRANSACTION/DATE PROPERTY BECAME PAYABLE, REDEEMABLE, OR RETURNABLE (6)	AMOUNT DUE OWNER BEFORE DEDUCTION AND WITHHOLDING (7)	DEDUCTION OR WITHHOLDING (SEE INSTRUCTIONS)	AMOUNT/ NUMBER OF SHARES REMITTED AS DUE OWNER (9)	INTEREST RATE (10)	Description of Tangible Property, Mutual Funds, Securities (to include CUSIP# where applicable). Or comments (see instructions). (11)
	IDENTIFYING NUMBER (3)					TYPE AMOUNT (8A) / (8B)			
EXAMPLE: 1.	AC02 1234567	PUBLIC, JOHN Q. PUBLIC, MARY Z. (co-owner) 1234 Any Street Any City, State and Zip Code	000-00-0000	01/06/1991	\$155.00	SC / \$5.00	\$150.00	6.00%	JOHN PUBLIC'S DOB: 09/10/1961 Account Opened 05/02/1972
TOTALS BROUGHT FORWARD FROM PREVIOUS PAGE					\$	\$	\$		
	SUBMIT YOUR REPORT AND REMITTANCE BY NOVEMBER 1 OF REPORT YEAR (MAY 1 FOR INSURANCE COMPANIES)				\$	\$	\$	TOTALS CARRIED FORWARD TO NEXT PAGE	

**Unclaimed Property Holder Claim Form  
Filing Instruction**

**THE HOLDER CLAIM FORM MUST BE FULLY COMPLETED BEFORE ANY CLAIM MAY BE PAID.**

**Section A:** Provide the name of a contact person and telephone number in case there are any questions about the claim.

**Section B:** Provide the name and address of the holder as it appeared on the most recent report. The Federal I.D. number must also be provided.

**Section C:** Provide information about the REPORTED OWNER and CO-OWNER if applicable. On these two lines, indicate the name and address in which the account was originally reported.

**Section D:** Identify the property type being claimed (i.e. savings, checking, unpaid wages, unpaid dividends, deposit refund, etc.) and information concerning the report and remittance.

**Section E:** Provide a copy of the check issued in payment to the owner (or proof that the owner's account was reactivated by your organization) with this completed claim form.

**Section F:** Sign the Affidavit according to the instructions.

**Note:** If requesting reimbursement for an account reported in the aggregate, a complete list of the aggregate account detail must be submitted if you did not provide this information with the original report.





## UNCLAIMED PROPERTY HOLDER CLAIM FORM

**Purpose:** To reimburse Holder for property delivered to the State Treasurer, and subsequently returned to the rightful owner, or to refund an account that has been reported in error, pursuant to the Virginia Unclaimed Property Act.

A. Contact person \_\_\_\_\_ Phone number \_\_\_\_\_  
e-mail address \_\_\_\_\_

B. Holder's Name \_\_\_\_\_ Holder's Address \_\_\_\_\_  
Holder Federal I.D. No. \_\_\_\_\_

C. Account Information About Reported Owner(s): Co-owner:

_____	_____	_____	_____	_____	_____
Last Name	First	Middle	Last Name	First	Middle

_____	_____	_____	_____	_____
Number and Street	City	State	Zip	

D. Property Type/Description:

Date Reported to State _____	Amount being claimed _____
------------------------------	----------------------------

Report/Remit Amount _____	Reported: Individually _____
---------------------------	------------------------------

Remittance Date _____	In aggregate _____
-----------------------	--------------------

Holder Report # _____	Page number _____
-----------------------	-------------------

Holder Number \_\_\_\_\_

E. **ATTACH COPY OF CANCELLED CHECK OR RECEIPT SHOWING PAYMENT TO ORIGINAL OWNER OR SUBMIT PROOF OF REACTIVATION OF ACCOUNT.**

F. The holder hereby agrees to release and hold harmless the State and the Treasurer, its officers and employees, from any loss resulting from the payment of this claim. The below named individuals swear and affirm that they are representatives of the Claimant (holder) in the foregoing claim and that the statements in said claim are true to the best of their knowledge.

Must be signed by two principal officers or one officer and an authorized employee.

_____	_____	_____
Typed name	(Title)	Signature Date

_____	_____	_____
Typed name	(Title)	Signature Date

### COMMONWEALTH OF VIRGINIA

#### DEPARTMENT OF THE TREASURY

Division of Unclaimed Property

P.O. Box 2478

Richmond, VA 23218-2478

Telephone: 804-225-2393 or toll free 1-800-468-1088

WWW.TRS.VIRGINIA.GOV

## **Extension Request Instructions:**

- ◆ Complete Extension Request; including holder number or FEIN (Federal Tax ID) if holder number unknown. Requests are granted in 30 or 60 day increments.
- ◆ Fax or mail form to number/address printed.
- ◆ Please furnish a fax number; approved requests will be acknowledged by fax.
- ◆ Please note that interest at a rate of 7% will continue to accrue from November 1 of the report year until the date your remittance is postmarked. (Rate subject to change based on rate applicable to delinquent taxes as established by §58.1-1812).
- ◆ To avoid paying this interest charge, you may make an estimated payment postmarked no later than November 1.
- ◆ If no estimated payment is sent, please contact our office once your report is ready so we can provide you with the interest calculation. This amount must then be added to your unclaimed property liability amount to obtain the total remittance amount due.

## **Follow-up Instructions:**

- ◆ Please note the interest payment amount where indicated on the AP-1 form.
- ◆ If overpayment is made as a result of estimated payment being sent, please complete a holder claim form to claim the over remittance.

# DEPARTMENT OF THE TREASURY DIVISION OF UNCLAIMED PROPERTY

## REQUEST FOR EXTENSION OF TIME TO FILE UNCLAIMED PROPERTY REPORT

HOLDER # \_\_\_\_\_  
HOLDER \_\_\_\_\_  
NAME & \_\_\_\_\_  
MAILING \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
\_\_\_\_\_

E-MAIL ADDRESS \_\_\_\_\_

CONTACT PERSON \_\_\_\_\_

PHONE NUMBER \_\_\_\_\_

INSTRUCTIONS: Please furnish ALL requested information and return signed, dated original\* form to the Division (see reverse side of form) prior to the due date.

Please provide a brief explanation of the reason for this request:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

REQUESTED EXTENSION DATE: \_\_\_\_\_

ESTIMATED DOLLAR AMOUNT OF REPORT TO BE FILED: \_\_\_\_\_

ESTIMATED NUMBER OF OWNERS ON REPORT: \_\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\*\*\*\*\*

### FOR DIVISION USE ONLY

\*\*\*\*\*

\_\_\_\_\_ Your request for an extension has been granted. Your report and remittance are due on:

\_\_\_\_\_ Your request for an extension has been denied. Please report and remit prior to the due date as required by statute.





Approved by	
Date	

Mail to: Department of the Treasury, Division of Unclaimed Property, attn R/R Supervisor,  
P. O. Box 2478, Richmond, VA 23218-2478  
Fax to: (804) 786-4653

## Reporting Unclaimed Property Checklist



- You MUST complete the “[AP1 FORM FOR REPORT OF UNCLAIMED PROPERTY](#)”, unless you have nothing to report (a Negative Report).

Pay careful attention to these sections:

- Have you completed the “ **Contact person**” information (#1)?
- Have you completed the sections, “ **About This Business Entity**” and “ **About This Report**”? (These sections must be completed by all holders, using “n/a” for questions that do not apply)
- Have you entered the date  **due diligence** was performed? This date is required!!
- Have you **signed and dated** the AP1 form?
- If you were granted an extension, but did not send in an estimated payment, have you calculated the interest due and included full payment (amount due + interest) with your report?

- Have you enclosed your “[AP2 Report of Unclaimed Property](#)”?

Pay careful attention to these sections:

- Have you provided the  **last known address** and social security/FEIN number for all properties valued at \$100 or more?
- Have you provided  **owner detail** for aggregate property?
- Have all securities been delivered (either through DTC or by inclusion of a physical certificate) to the proper nominee name, Old Dominion & Co.?
- If you are remitting mutual fund accounts, have the shares been transferred to the Commonwealth of Virginia? Have you included statements showing the transfer of the shares to the Commonwealth of Virginia, Department of the Treasury, Division of Unclaimed Property?
- If you are reporting an interest bearing account, have you provided the last recorded interest rate?

- Have you enclosed your check made payable to “Treasurer of Virginia”?